

IMPORTANT NOTICE: The current official version of this document is available via the Sandia National Laboratories NWMP On-line Documents web site. A printed copy of this document may not be the version currently in effect.

NUCLEAR WASTE MANAGEMENT PROGRAM PROCEDURE

NP 6-2 DOCUMENT CONTROL PROCESS Revision 1

Effective Date: 04/26/99

Author:	Angela Guerin	Original signed by Angela Guerin	4/19/99
	(printed name)	(signature)	date

1.0 Purpose and Scope

This procedure describes the Sandia National Laboratories (SNL) Nuclear Waste Management Program (NWMP) system for ensuring that correct versions of documents meeting the definition of a controlled document (CD) are distributed to appropriate personnel, in either hard copy or electronic form, and are available for use at the locations where the work is being performed.

Implementing documents that specify technical requirements or quality requirements, describe the conduct of processes, or establish the design of systems important to waste isolation, nuclear safety, or demonstration of regulatory compliance shall be controlled in accordance with this procedure. Examples include, but are not limited to, Quality Assurance Procedures (QAPs), NWMP Procedures (NPs), Test Plans (TPs), Analysis Plans (APs), Activity/Project Specific Procedures (SPs), Design Plans, NWMP QA Requirements Matrix, NWMP Glossary, and drawings.

Documents generated by SNL NWMP contractors and other organizations (e.g., U.S. Department of Energy [DOE]) that require controlled distribution in accordance with this procedure and are being used by SNL NWMP will be identified and maintained by the Document Control Staff in the Controlled Documents database.

Document users are responsible for using the correct and active document in performing activities. Correct and active document versions are available through on-line documents accessed through the web at the following web address: <http://www.nwmp.sandia.gov/onlinedocuments>.

Acronyms and definitions for terms used in this procedure may be found in the NWMP Glossary located at the Sandia National Laboratories (SNL) NWMP On-line Documents web site.

2.0 Implementation Actions

2.1 Issuance of a Controlled Document

The author shall provide the following to document control:

- approved original document in its entirety.
- electronic version of the original document preferably in Microsoft Word.
- a completed Distribution/Recall of a Controlled Document Form NP 6-2-1 (sample shown in Appendix A).
- any applicable support documentation (e.g., Procedure History and Approval Form NP 5-1-1; and Document Review and Comment Form NP 6-1-1).

The Document Control Staff reviews the original document package for legibility, correctness, and completeness. For example:

- approval signatures (document changes, other than those defined as editorial changes, shall be reviewed and approved by the same organization that performed the original review and approval)
- editorial changes (approval is only required by the organization responsible for preparing the document and a QA reviewer, along with an explanatory note)
- document completeness (document type, number and revision, a place to fill in the effective date, correct pagination, change bars, electronic copy)
- DRCs, etc.

Issues of legibility and completeness will be resolved with the author before distribution. After determining that the package is complete, the Document Control Staff updates the Controlled Documents database.

The effective date will be the date the document is placed on-line and entered on the original document by the Document Control Staff.

Note: When a new Controlled Document is replacing a currently active Controlled Document with a unique document control number (e.g., replacing a NP with a SP), the document being replaced shall be recalled. This may be done on the same Form NP 6-2-1 used to issue the new Controlled Document. When a revision to a currently active controlled document with the same document control number is done, the previous revision is considered a superseded document.

2.1.1 On-Line Documents

The Document Control Staff will place the approved controlled document (electronic version) on-line with “read only” access. The on-line document will reflect the approval authorization(s) and the effective date. As part of placing the document on-line, the Document Control Staff shall ensure a notation similar to the following is placed near the top of the first page of the document:

“IMPORTANT NOTICE: The current official version of this document is available via the Sandia National Laboratories NWMP On-line Documents web site. A printed copy of this document may not be the version currently in effect.”

The Document Control Staff will print the document, compare the on-line document against the signed original to ensure that the hard copy and the on-line document are identical, and resolve any discrepancies. The Document Control Staff shall also notify the NWMP Managers of the issuance of a new document by e-mail, with the exception of editorial changes, for further dissemination to their staff.

Note: Only those documents residing on-line or those issued with red Controlled Document numbers are official Controlled Documents. If an on-line document is printed, it is NOT considered to be a controlled document. It is considered to be an "Information Only" copy.

2.1.2 Hard Copy Distribution

If hard copy distribution is necessary, the Document Control staff shall:

- reproduce the necessary number of copies according to the distribution list on Form NP 6-2-1,
- stamp or print each copy with the "Controlled Document" label and using red ink assign a unique control number, and
- generate a Transmittal/Recall Acknowledgement of a Controlled Document Form NP 6-2-2 (see sample shown in Appendix B) for each copy of the document, attach it to the corresponding CD, and distribute.

Document recipients acknowledge the receipt of a document by completing Form NP 6-2-2 as instructed, and returning it to the Document Control Staff within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form NP 6-2-2, the Document Control Staff shall update the Controlled Documents database.

If the recipient retains a superseded document, the front page shall be marked "Superseded." Such copies shall be kept physically separate from the most current, active controlled document.

2.1.3 Changes to Hard Copy Distribution

The document recipient or author shall complete Form NP 6-2-1 (sample shown in Appendix A) and submit the form to Document Control if:

- a replacement of a hardcopy Controlled Document is needed,
- an addition to hardcopy distribution is required, or
- a deletion from hardcopy distribution is required.

Requests for a document may be made by telephone or e-mail. The Document Control Staff shall prepare a Form NP 6-2-1 at the time of request.

Document Control shall update the Controlled Documents database and distribution lists and make any necessary distribution as requested on the form.

2.1.4 Training Determination

In the event that a Form NP 5-1-1 (Procedure History and Review/Approval Form) is received with the original document, the Document Control Staff shall review the Training Determination area and take action as follows:

- If the "No Training Required" box is checked, no further action is needed.
- If the "Notification to Users Only" box is checked, an e-mail will be sent to NWMP managers for further dissemination to their staff.
- If the "Training Required" box is checked, and "QA Programmatic Training" is marked, a copy of Form NP 5-1-1 will be sent to the Training Coordinator. If "Technical Training" is checked under "Training Required", an e-mail will be sent to NWMP Managers for further dissemination.

2.2 Recall of a Controlled Document

When a Controlled Document and its unique document control number is no longer needed or used, the author or QA Manager shall complete Form NP 6-2-1 and submit it to the Document Control Staff.

The Document Control Staff shall:

- update the Controlled Documents database,
- generate and distribute the Transmittal/Recall Acknowledgement of a Controlled Document Form NP 6-2-2 (sample shown in Appendix B) to recipients of hard copies,
- notify the NWMP Managers by e-mail for further dissemination, and
- remove the document from the on-line documents web site.

Document recipients acknowledge the recall of a document by completing Form NP 6-2-2 as instructed, and returning it to the Document Control Staff within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form NP 6-2-2, the Document Control Staff shall update the Controlled Documents database.

If the recipient retains a recalled document, the front page shall be marked "Recalled". Such copies shall be kept physically separate from current, active controlled documents.

3.0 Records

The following Quality Assurance (QA) records, generated through implementation of this procedure, shall be prepared and submitted to the NWMP Records Center in accordance with NP 17-1 (Records).

<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
• Original of the Controlled Document	Author	Document Control
• Form NP 6-2-1	Author	Document Control
• Any applicable support documentation (e.g., Procedure History and Review/Approval Form NP 5-1-1, and Document Review and Comment Form NP 6-1-1)	Author and Reviewers	Document Control
• Form NP 6-2-2	Document Control and Recipient of Hardcopy	Document Control

4.0 Appendices

Appendix A: Distribution/Recall of a Controlled Document Form NP 6-2-1

Appendix B: Transmittal/Recall Acknowledgement of a Controlled Document Form NP 6-2-2

Appendix C: NP 6-2 Process Flow Chart

Appendix A

NUCLEAR WASTE MANAGEMENT PROGRAM Sandia National Laboratories	<h2 style="margin: 0;">Distribution/Recall of a Controlled Document</h2>	Form Number: NP 6-2-1 Page 1 of 1
---	--	--

Please type or print. If new or revised document, include one (1) ORIGINAL copy of the document to be copied for distribution and associated review documentation, if any, and electronic copy, preferably in Word.

Requester's Name _____	Org _____
-------------------------------	------------------

Document Title (s)	Document Type/Number	Revision
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Please check all that apply:

This is a/an

- ☐ entirely new document.
- ☐ revision; change bars are included (previous revision is superseded).
- ☐ recall Document _____ Revision _____. It is being replaced by the Document listed above.
(a copy of this form will also be placed in the records package of the recalled document)
- ☐ recall. Reason for recall: _____
- ☐ request for replacement of hardcopy of the Controlled Document(s) listed above.
- ☐ request to be added to the hardcopy distribution list for the Controlled Document(s) listed above.
- ☐ request to be deleted from the hardcopy distribution list for the Controlled Document(s) listed above.

List any form(s) within the document appendices to be made into templates:

List of Recipients who need controlled paper copies: (Fill out this section only if recipients do not have access to the web.)

Note: All Controlled Documents will be placed on the web at the following web address:
<http://www.nwmp.sandia.gov/online documents>.

<u>Recipient</u>	<u>Address</u>
_____	_____
_____	_____
_____	_____
_____	_____

<i>Requester's Signature</i> (Document Control Staff may sign for telephone or e-mail requests)	<i>Date</i>
<i>Approved by Document Control</i>	<i>Date</i>

Return to: SNL/NWMP Document Control Staff
Org. 6811, MS-1395

Appendix B

NUCLEAR WASTE MANAGEMENT PROGRAM Sandia National Laboratories	Transmittal/Recall Acknowledgement of a Controlled Document	Form Number: NP 6-2-2 Page 1 of 1
---	--	--

Date _____

To _____ Org _____

From: SNL NMWP Controlled Documents Staff

Document ID _____ Revision _____

Document Title _____

Number of Pages _____

Control Number _____

Instructions:

☐ This is a new controlled document.

☐ This is a new controlled document replacing _____ Revision _____
(which is now considered recalled). Discard the recalled document or prominently mark as "Recalled" and place in a location separate from other controlled documents.

☐ This document supersedes _____ Revision _____
Discard the superseded document or prominently mark as "Superseded" and place in a location separate from the most current, active controlled document.

☐ The SNL NWMP Controlled Documents Staff is recalling this document. Discard the recalled document or prominently mark as "Recalled" and place in a location separate from other controlled documents.

Please check all that apply, sign and date.

☐ I acknowledge receipt of this document.

☐ I have performed the above action(s) and, if applicable, superseded/recalled documents have been discarded or marked "Superseded"/"Recalled" and placed in a separate location.

☐ I do not require this document; please remove me from distribution. Document has been destroyed.

Signature

Date

Please return this form by _____ to:

Sandia National Laboratories
NWMP Document Control Staff
Org. 6811, MS-1395
115 N. Main
Carlsbad, NM 88220

Appendix C

NP 6-2 Process Flow Chart

